

**STATE OF CALIFORNIA
ENVIRONMENTAL PROTECTION AGENCY
INTEGRATED WASTE MANAGEMENT BOARD**



DRAFT: APPLICATION INSTRUCTIONS

**LOCAL GOVERNMENT
HOUSEHOLD HAZARDOUS WASTE GRANT (14th Cycle)
FOR FISCAL YEAR 2005/06**

**Application must be received
by 3:00 PM April 15, 2005**

**Mail and hand delivery are acceptable.
Faxed or E-mailed applications will not be accepted.**

Mail or deliver application to:
California Integrated Waste Management Board
Attn: Liz Huerta, Grants Administration Unit (HD14)
1001 "I" Street, MS-10,
P.O. Box 4025
Sacramento, CA 95812-4025
(916) 341-6643

APPLICATIONS MAILED OR SENT BY U.S. POSTAL SERVICE OR A COMMERCIAL DELIVERY SERVICE SHOULD BE SENT BY A MEANS THAT ALLOWS FOR TRACKING BY THE SENDER AND THAT GUARANTEES DELIVERY ON OR BEFORE THE APPLICATION DEADLINE. FAILURE TO DO SO IS AT THE RISK OF THE APPLICANT, AND DELAYED DELIVERY OR LOSS OF AN APPLICATION BY THE POST OFFICE OR A DELIVERY SERVICE WILL NOT BE ACCEPTED AS JUSTIFICATION FOR A LATE APPLICATION.

GRANT APPLICATION SUBMITTAL CHECKLIST

Use this checklist to make sure you've included all the correct documents and sections in your grant application.

- ☐ Cover Sheet (Attachment)
- ☐ Table of Contents (with page numbers)
- ☐ Resolution and/or Letters of Authorization (Attachment)
- ☐ Proposal Narrative and Attachments (Suggested page length in parenthesis – entire application may not exceed 15 pages, excluding Attachments)
 - ☐ Introduction: Project Summary (paragraph)
 - ☐ Section 1: Program Criteria (half page)
 - ☐ HHW Facility Description Profile (Attachment)
 - ☐ Section 2: Need (4-6 pages)
 - ☐ Map (for facilities or collection programs only)(Attachment)
 - ☐ Section 3: Goals and Objectives (1-2 pages)
 - ☐ Section 4: Work Plan Narrative (3-7pages)
 - ☐ Work Plan (Attachment)
 - ☐ Section 5: Evaluation (1-2 pages)
 - ☐ Section 6: Budget Narrative (1-2 pages)
 - ☐ Budget (Attachment)
 - ☐ Section 7: Letters of Support & Experience
 - ☐ Appropriate Letters (original or copies of letters)
 - ☐ Staff Experience (Summary of relevant experience, not Resumes)
 - ☐ Summary of Previous Used Oil and Household Hazardous Waste (HHW) Grants (Attachment)
 - ☐ Section 8: Environmentally Preferable Purchasing Policy (EPP) or Directive
 - ☐ EPP Evaluation Sheet (Attachment)
- ☐ **One original and three copies** of the application must be submitted to:
 - California Integrated Waste Management Board
 - Attn: Liz Huerta, Grants Administration Unit (HD14)
 - 1001 I Street, MS-10
 - P.O. Box 4025
 - Sacramento, CA 95812-4025

Copies: Identify the original application with a mark or stamp indicating “original” and mark or stamp the copies, “copy.” Copies must be free of distortion and easy to read.

Font: 12 points or larger font.

Paper: 8 ½” x 11” 100% recycled-content paper, double sided and numbered consecutively.

Stapled, not bound: upper left-hand corner.

APPLICATION DEADLINE: Application must be received at California Integrated Waste Management Board (CIWMB) in Sacramento by 3:00 p.m., April 15, 2005.

Hand-delivered and mailed applications will be accepted. E-mailed or faxed applications will not be accepted.

FOR MORE INFORMATION:

Information (including the application) will be posted on the California Integrated Waste Management Board's (CIWMB) website at: <http://www.ciwmb.ca.gov/HHW/Grants> when it becomes available. Hard copy applications are available by contacting Wendy Roberson at wroberso@ciwmb.ca.gov or (916) 341-6690.

For program information, contact Ashraf Batavia at (916) 341-6442 or Spencer Fine at (916) 341-6465.

Question and Answer Period

Questions about this HHW Grant (HD14) application may be submitted in writing by March 7, 2005 to Ashraf Batavia or Spencer Fine via e-mail or sent by mail to:

California Integrated Waste Management Board
Attn: Spencer Fine
Used Oil and HHW Grants
1001 I Street, MS-21
P.O. Box 4025
Sacramento, CA 95812-4025

Staff will use the questions submitted to develop a question and answer sheet on or about March 11, 2005. Responses will be posted on the CIWMB grants website www.ciwmb.ca.gov/HHW/Grants and mailed out upon request. To the extent possible, similar questions will be grouped together. **Please note that no project specific questions will be answered.**

IMPORTANT TENTATIVE GRANT DATES

DATE	ACTIVITY
January 2005	Board adopts scoring criteria/evaluation process
March 7, 2005	Question and answer period closes
March 11, 2005	Responses to questions will be posted on or about this date
April 15, 2005	Applications are due and will not be accepted after this date. NOTE: This date is NOT tentative.
July 2005	Board considers funding recommendations
July-September 2005	Grantees initiate work on projects after receiving Notice to Proceed
March 30, 2008	Grantees complete work on projects
May 1, 2008	Final Report and Final Payment Request Due

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LOCAL GOVERNMENT HOUSEHOLD HAZARDOUS WASTE GRANT (14th Cycle) FOR FISCAL YEAR 2005/06

I. GRANT SUMMARY AND GUIDELINES

■ BACKGROUND

Public Resources Code (PRC) Section 47200 authorizes the California Integrated Waste Management Board (CIWMB or Board) to award competitive grants to local government agencies for programs that reduce the amount of Household Hazardous Waste (HHW) disposed of at solid waste landfills.

Grant funds must be used to establish or expand HHW programs that provide collection opportunities, and/or corresponding public education/publicity campaigns. Proposed activities should complement local and regional HHW and used oil programs.

■ APPLICANT ELIGIBILITY

California cities, counties, and local agencies, including Indian reservations and rancherias with direct responsibility for HHW management. Commercial businesses and nonprofit groups are not eligible to apply for this grant, but may partner with a local jurisdiction on the delivery of program services. Only one application may be submitted by a jurisdiction. If you apply as part of a regional group, you cannot submit an individual application. Each applicant may submit one application for a local/regional HHW project, and one application for the Recycled Paint Certification System Project.

Applicants with open CIWMB grants (e.g. Used Oil Block Grants and Competitive Grants) must have current and approved grant reports on file before they can receive HD14 grant agreements, should they be chosen to receive a grant award.

■ FUNDING AVAILABLE

If approved as part of the fiscal year 2005/2006 Budget Act, four million five hundred thousand dollars (\$4.5 million) in grant funds may be available for this grant cycle, with \$200,000 set aside for one project that would develop a Recycled Paint Certification System. The Recycled Paint Certification System is one of eleven prioritized by the National Paint Product Stewardship Initiative and Memorandum of Understanding recently signed by former California Environmental Agency Secretary Terry Tamminen. Individual jurisdictions may request up to \$200,000 and regional groups (two or more cities/counties) may request up to \$300,000.

Depending upon the final ranking of scores, it would be possible for the same applicant to receive two grant awards (for two different projects) for this cycle **ONLY IF** one of the two projects was a Recycled Paint Certification System Project.

■ **GRANT TERM**

The grant term is from approximately August 2005 through March 2008. Grant expenses may **not** be incurred until grantees receive the Notice to Proceed. Funding for this grant cycle must be encumbered by June 30, 2006.

■ **ELIGIBLE ACTIVITIES**

Grant funds must be used to establish or expand HHW programs that provide permanent collection opportunities and/or effective publicity campaigns. Proposed activities should complement existing local and regional HHW programs.

■ **HIGH PRIORITY PROGRAM ACTIVITIES**

Public Resources Code Section 47200 directs the CIWMB to focus funding priorities toward:

- ◆ New programs for rural areas, or for small cities;
- ◆ Targeting underserved populations;
- ◆ Demonstrating or piloting innovative or more cost effective collection methods; and
- ◆ Establishing a multi-jurisdictional HHW program that addresses regional needs.

For this HD14 grant, in addition to the statutory priorities, the program criteria will be weighted towards applicants that:

- ◆ Establish a permanent and sustainable HHW collection facility(ies);
- ◆ Expand permanent HHW collection facility(ies) to accommodate Electronic-waste, Universal Waste Electronic Devices(UWED), and other universal wastes;
- ◆ Demonstrate or pilot targeted universal waste programs; or
- ◆ Develop a Recycled Paint Certification Project.

■ **ELIGIBLE COSTS**

Costs must be directly related to the approved Grant project and identified in the Budget.

All expenditures must be only for activities, products, and **costs** included in the approved Work Plan (see Attachment 3) and approved Budget (see Attachment 4), **all expenses must be incurred, and services provided and goods received, after receiving Notice to Proceed and before the end of the Grant Term.**

Any proposed revisions to the Work Plan and/or the Budget must be submitted, and pre-approved **in writing** by the CIWMB Grant Manager, prior to Grantee incurring the proposed expenditures. The approval document should be retained by the Grantee for audit purposes.

The following are examples of eligible costs:

- ◆ Construction of Permanent Household Hazardous Waste Collection Facility (PHHWCF) including construction, equipment and service;

- ◆ Costs, including materials, supplies, equipment and facilities related to the management of HHW;
- ◆ Expenses for activities or programs that provide an opportunity for the collection of HHW that would not otherwise exist;
- ◆ Set-up and operation of temporary facilities for one-day or multi-day events;
- ◆ Overhead or indirect costs up to ten percent (10%) justified by your jurisdiction's internal Cost Allocation Plan. These costs are expenditures not capable of being assigned or not readily itemized to a particular project or activity, but considered necessary for the operation of the organization and the performance of the program. The costs of operating and maintaining facilities, accounting services, and administrative salaries not directly related to grant activities are examples of overhead and indirect costs;
- ◆ Publicity and educational activities, particularly those that utilize community-based social marketing, that support HHW collection, recycling, and use of recycled products, and/or pollution prevention programs; and
- ◆ Sharps containers that provide disposal instructions. The containers must be collected at an established HHW collection facility in order for the grant funds to cover transportation and disposal costs. The cost of this portion of a program is not to exceed \$40,000.

■ **INELIGIBLE COSTS**

Any costs not included in your approved budget and not directly related to the approved grant project are ineligible for reimbursement. If you have any questions regarding ineligible costs, contact your CIWMB Grant Manager. Ineligible costs include, but are not limited to:

- ◆ Costs (claimed as either grant expenses or matching monies)
- ◆ incurred prior to the Notice to Proceed or after the grant term;
- ◆ Costs currently covered by another CIWMB loan, grant or contract;
- ◆ Purchasing or leasing of land or buildings;
- ◆ Costs to maintain an existing HHW program;
- ◆ Developing a permanent facility on non-government managed property;
- ◆ Purchasing or leasing of vehicles by non-governmental agencies
- ◆ Overtime costs (except for local government staffing during evening or weekend events that are pre-approved in writing by the CIWMB Grant Manager, when law or labor contract requires overtime compensation);
- ◆ Management, handling, disposal, or treatment of radioactive, explosive or medical wastes, and other extremely hazardous waste;
- ◆ Pre-paid expenditures for future goods or services delivered beyond the end of the grant term (Exemption: The CIWMB Grant Manager may consider approving products purchased in full before the end of the Grant Term but delivered after the Grant Term if the delay is caused solely by the supplier, and not by the Grantee. The Grantee must request an exemption in writing and receive written pre-approval from the CIWMB Grant Manager);
- ◆ Any food or beverages (e.g. as part of meetings, workshops, training, or events);
- ◆ Public education costs not directly tied to HHW collection;
- ◆ Profit or mark-up by the grantee or subcontractors;
- ◆ Any costs that are not consistent with local, state, and federal guidelines and regulations;

- ◆ Personnel costs incurred while an employee assigned to the grant project is not working on the grant (e.g., use of accrued time such as sick leave, vacation, etc.);
- ◆ Premiums or promotional items that contribute to the solid or hazardous waste stream;
- ◆ Fines or penalties due to violation of federal, state or local laws, ordinances, or regulations;
- ◆ Promotional items or premiums that are not related to HHW or the target audience;
- ◆ Cell phones, pagers and personal digital assistants(PDA);
- ◆ Development of school curricula;
- ◆ Movie theater screen advertising;
- ◆ Overhead in excess of 10%;
- ◆ Relocation expenses;
- ◆ Enforcement activities; and
- ◆ Remediation.

II. GRANT APPLICATION REVIEW AND AWARD PROCESS

■ APPLICATION REVIEW

After the close of the application period, review panels consisting of CIWMB staff will be convened to evaluate applications using the Board approved Scoring Criteria. **Applicants must score at least 80% (64 out of 80 points) of the General Review Criteria points in order to be eligible to receive points in the Program Criteria section.** Applicants must attain at least 70 out of the 100 total points possible to be eligible for funding.

The following is a summary of how the points are divided into two sections (general and program criteria):

Program Criteria (Statutory & Discretionary Sections) 20 points

Applicants will either score Program Criteria points in the 1) Statutory Requirements and Discretionary Criteria sections or 2) Recycled Paint Certification Project section; NOT both

- | | |
|------------------------------|-----------|
| ◆ Statutory program criteria | 12 points |
| ◆ Discretionary Criteria | 8 points |

OR

Recycled Paint Certification Project	20 Points
--------------------------------------	-----------

General Criteria 80 points

- | | |
|--|-----------|
| ◆ Need | 20 points |
| ◆ Goals and Objectives | 8 points |
| ◆ Work Plan | 16 points |
| ◆ Evaluation | 8 points |
| ◆ Budget | 11 points |
| ◆ Application Completeness, Experience & Support | 7 points |
| ◆ Environmentally Preferable Practices Eval. Sheet | 10 points |

■ **REQUIRED DOCUMENTS**

The following documents are required as part of this application:

- ☐ Cover Sheet
 - ☐ Sample Resolution and/or Letter(s) of Authorization (if applicable)
 - ☐ Work Plan
 - ☐ Budget
 - ☐ Summary of Previous Used Oil and HHW Grants
 - ☐ Environmentally Preferable Practices Evaluation Sheet
 - ☐ HHW Facility Description Profile (for facilities only)
 - ☐ Map (for facilities or collection programs only)
 - ☐ Letters of Support
 - ☐ Summary of Staff Experience and Expertise
- ◆ If you fail to include these documents with your application, your application will have points deducted under the General Scoring Criterion: *Completeness*.
 - ◆ Additional documents may be submitted after the application deadline; however, your score for *Completeness* will not be adjusted.
 - ◆ Missing documents must be received by the Grants Administration Unit of the CIWMB no later than **May 15, 2005**.
 - ◆ Failure to meet this deadline will result in the disqualification of the application from consideration for award.

■ **PARTIAL FUNDING OF PROPOSALS**

The review panels may recommend partial funding of some, or all, proposals and will deduct ineligible or inappropriate costs

■ **CIWMB AWARD OF GRANTS**

The Board is expected to consider the grant funding recommendations at its July 2005 Special Waste Committee and Board Meetings. All applicants will be advised by email of the Board's decision. The Board reserves the right to not award any or only a portion of the HHW grant, subject to funding availability.

Following the Board's approval of the Grant, the successful applicants will be mailed a Grant Agreement Form, Final *Procedures and Requirements*, and Final *Terms and Conditions*. These documents, along with the applicant's approved Budget and Work Plan, comprise the Grant Agreement.

The signatory designated by the Applicant's Resolution will be required to sign the Grant Agreement Form and return it to the CIWMB Grants Administration Unit **within ninety (90) days** from the date of mailing by the CIWMB. In addition, the Grantee is required to pay all outstanding debts due to the CIWMB within that ninety (90) days from the date of the award. (Check with your Accounting Office to determine whether your jurisdiction has any outstanding CIWMB invoices resulting from unexpended Grant funds in previous cycles or other outstanding debt.) The Grant Agreement will be released to the Grantee after all outstanding debts are paid. **If these two conditions are not met, the Grant may not be funded.**

■ **CIWMB PAYMENT FOR GRANT EXPENDITURES**

Grant funds are paid on a reimbursement basis for actual costs directly related to the implementation of the approved Grant activities outlined in the approved Work Plan. Detailed requirements for payment are included in the attached draft Exhibit A: Terms and Conditions and draft Exhibit B: Procedures and Requirements.

(These documents are subject to change without notice prior to award of the Grant.)

III. APPLICATION INSTRUCTIONS

These Instructions are organized according to the order in which the HD14 application must be submitted. Each section of these application instructions contains:

- ◆ The item as it will appear in your Table of Contents;
- ◆ Required attachment(s);
- ◆ Estimate of the pages that may satisfactorily address the section;
- ◆ Summary of evaluation points available;
- ◆ Sample questions for you to answer in addressing the evaluation criteria; and
- ◆ Helpful hints or “tips” from previous Grant Cycles

Follow the format carefully as points may be deducted for not addressing certain topics, **exceeding the 15-page limit**, boxes not checked, application not double-sided, missing signatures or required attachments, or an unclear proposal.

Double-check your application and make sure everything on the checklist (inside cover of application) is included and arranged in the order prescribed.

■ **COVER SHEET (Attachment)**

The required Cover Sheet Form (Attachment 1) may be adapted to each applicant’s computer software; however, the format must be followed exactly. Instructions for completing the form are on the reverse side of the form. It includes contact information and a summary of your proposed project.

■ **TABLE OF CONTENTS**

The Table of Contents should indicate on which page each of the required items can be found. This provides a guide that makes it easier for the review panel to score your application.

■ **RESOLUTION (Attachment) or LETTERS OF AUTHORIZATION**

The approved resolution for a single jurisdiction and all supporting documents for a regional program must be submitted, preferably with the grant application package on April 15, 2005, but no later than **May 15, 2005**. **Please select the designated signature authority carefully because only the person in the designated position will be able to sign all the grant documents to secure funds and implement the grant project (e.g. application, the Grant Agreement Form and Payment Request Form).** If a “designee” is authorized in the resolution, be sure to also include a letter signed by the signature authority indicating the title of the designee.

You must submit either:

- 1.) An approved resolution from the applicant's governing body which authorizes submittal of an application for the HHW Grant (14th Cycle) FY2005/06 and identifies the **title** of the individual authorized to execute any agreements, contracts, and requests for payment (see Sample Exhibit 2-A);

OR

- 2.) An approved resolution from the applicant's governing body which authorizes the submittal of grant applications to the CIWMB for all available HHW or Used Oil grants under the California Integrated Waste Management Act and California Oil Recycling Enhancement Act, and identifies the **title** of the individual authorized to execute any agreements, contracts, and requests for payment (see Attachment 2-B).

Regional and Joint Powers Authority (JPA) Programs: Multiple jurisdictions may join together to submit a regional application. A lead agency must be designated by the participating jurisdictions.

In addition to submitting one of the resolutions described above, the lead applicant is responsible for obtaining from the participating jurisdictions (preferably included with the grant application), and providing to the CIWMB Grants Administrative Unit no later than May 15, 2005, one of the following:

- ♦ A letter from the county administrator/city manager (see Attachment 2-C) stating that the jurisdiction wants to participate in the regional program **and authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or,**
- ♦ A Resolution from the participating jurisdiction's governing body stating that the jurisdiction wants to participate in the regional program **and authorizing the lead applicant to act on its behalf as both applicant and grant administrator; or,**
- ♦ A copy of a Memorandum of Understanding **specifically for this grant proposal authorizing the lead applicant to act on behalf of the jurisdiction both as applicant and grant administrator.**

TIPS FOR RESOLUTIONS:

Select the designated signature authority carefully because only the person designated will be able to sign all grant documents to secure grant funds and implement grant project (e.g. application, the Grant Agreement Form and Payment Request Forms). If the designated signature authority wishes to delegate his/her authority to sign documents related to the Grant, such as Payment Request forms, the Resolution must expressly authorize this. For example:

"The Director of the Happy Valley Solid Waste Management Authority, or his/her designee, is hereby authorized and empowered to execute in the name of the above named county....."

To utilize this authority, **the Director must provide a signed letter stating the job title of his/her designee.** Otherwise, only the Director will be authorized to sign.

Regional and JPA Applicants:

The regional lead's Resolution does not need to specifically identify the participants' names. The names can be provided in an attachment along with LOAs from participants of the regional or JPA applicant. The inclusion of the participants' names in the regional lead's Resolution does not take the place of the participant's authorization letters (i.e., LOA or Resolution) .

PROPOSAL NARRATIVE

Narrative must clearly and concisely describe and justify each task presented in the proposal. A well-prepared application will address each question briefly, but thoroughly, paying specific attention to each of the points listed in the Scoring Criteria. **The applicant is responsible for supplying sufficient detail for the review panel to fully evaluate the proposal. You must not assume the review panel knows anything about your organization or previous program experience.**

Attachments to support the proposal narrative are NOT included in the fifteen (15) page limit, and include:

- ☐ Cover Sheet
- ☐ Resolution or LOA (if applicable)
- ☐ Work Plan
- ☐ Budget
- ☐ Summary of Previous Used Oil and HHW Grants
- ☐ Environmentally Preferable Practices Evaluation Sheet
- ☐ HHW Facility Description Profile (for facilities only)
- ☐ Map (for facilities or collection programs only)
- ☐ Letters of Support
- ☐ Summary of staff experience and expertise

Key sections are as follows, with **BOLDED** questions corresponding to criteria that review panels will use to score your application. The bulleted points under each question provide suggestions for information that might be included in a complete response to the bolded question.

TIPS FOR APPLICATION WRITING:

Do not worry if your narrative appears choppy or disjointed as the question format may require you to present information in an order than may seem illogical. Clearly responding to each question so that your response can stand alone makes it easier for the review panel to score your application. They do not like to “search” for information that may be buried in another section.

Do not worry if you seem to be repeating yourself—try to be succinct in your response or refer directly to the page where you may have addressed an issue earlier.

INTRODUCTION

The first paragraph of the application should be a re-statement of the ***Project Summary*** on the Cover Sheet identifying the proposal you are submitting and the priority criteria, if any.

SECTION 1: PROGRAM CRITERIA -- 20 points (Half page)

Rural Areas and Small Cities (3 points)

Applicant must list the demographics of the jurisdiction(s) included in the application:

- ♦ Rural areas (a rural area is a county having a population of 200,000 or less);
- ♦ Small cities (population of less than 35,000)

Underserved Populations (3 points)

Applicant must document that the project serves an “underserved population”.

Underserved populations are defined as those having less access to HHW collection opportunities compared to other populations with comparable density and socio-economic status in the service area. Data should be provided to substantiate the claim that the population is underserved. A grantee should be able to clearly articulate a strategy for targeting this population taking into consideration cultural differences, levels of education, economics, and accessibility to HHW collection. The strategy should be summarized in this section, but included in more detail in the Work Plan.

Innovative Collection Methods (4 points)

Applicant must clearly describe why this project provides an innovative solution or demonstrates a more cost effective collection method. The strategy should be summarized in this section, but included in more detail in the Need section, Work Plan and Budget (for cost effective).

Multi-jurisdictional Program (2 points)

Applicant must list the jurisdiction(s) included in the application and explain how the proposed project addresses regional needs. Letters of support are also required.

DISCRETIONARY CRITERIA (8 points possible)

Establish a permanent and sustainable HHW collection facility.

See definition of various types of HHW collection facilities in the Health and Safety Code, commencing with Section 25218.1. Keep in mind that you must be fairly well along in your project planning to obtain all points in this section.

Some potential problems have arisen with grant funding in the past. Therefore, to increase the likelihood that your facility will be built in a timely manner, you must also include the HHW Facility Description Profile (Attachment).

You must have identified the site for the facility before submitting the application. A change of location could cause extensive additional planning and could cause the delay of the project.

1. Jurisdictions that plan to establish permanent facilities on private property must prove a long-standing working relationship with the company or private landowner. Proof of a long term continued commitment to sponsor or co-sponsor the facility with the jurisdiction is required as is a commitment to continue operation consistent with the

purposes for which the CIWMB approved this application. The company/private landowner must provide assurances that it will enter into a legally binding long-term agreement that will require the facility be operated with an emphasis on promoting the public interest similar to the activity described in this grant application, throughout the life of the facility.

2. Jurisdictions must describe the land use and permitting obstacles that they have faced or will face. You must discuss these issues in the Work Plan

Note: Failure to fully address the above criteria will result in fewer points and a less competitive application.

OR

HHW facility expansion to accommodate Electronic Waste (E-Waste), Universal Waste Electronic Devices (UWED) & Universal Waste (U-Waste) (8 Points);

The applicant proposes to expand an HHW facility to ensure adequate capacity for E-Waste, UWED, and U-Waste. With the exemption from hazardous waste management and disposal requirements for household generated universal waste expiring on February 9, 2006, local programs need additional resources to expand their facilities to accommodate the increasing space needed for these waste streams as well as the legacy waste. You must address the following:

- ♦ Facility has been sized for container management of materials that could be bulked or consolidated for transportation off-site.
- ♦ Facility has space demands for collection of E-Waste, U -Waste and UWED, as well as their preparation for transport.
- ♦ Include the HHW Facility Description Profile (Attachment 7).

OR

Targeted U-Waste Programs (8 points)

The applicant proposes to create innovative approaches to new programs that will respond to increased volumes of U-waste materials. Exemptions from hazardous waste management and disposal requirements for household generated universal waste expire February 9, 2006. The applicant should be able to demonstrate an ability to “get the word out” in communicating changes in local disposal options and special handling to facilitate collection in a safe and cost effective manner.

You must address the following:

- ♦ Ability to formulate innovative approaches for varying local conditions
- ♦ Past projects involving public-private partnerships such as mercury thermometer exchange for digital replacements.
- ♦ Ability to create universal waste educational materials to communicate changes in local disposal options & special handling.

Note: To receive points for this section, all you need is a half page summary of your project. More detail should be included in the Need and Work Plan sections.

AND / OR

Preference for Recycled Paint Certification System (20 points)

California is an active member of the Product Stewardship Institute (PSI) and has set aside \$200,000 for one project to develop a Recycled Paint Certification System. The Recycled Paint Certification System is one of eleven prioritized by the National Paint Product Stewardship Initiative. Depending upon the final ranking of scores, it would be possible for one applicant to receive two grant awards (for two different grant projects) for this cycle ONLY IF one of the projects was Recycled Paint Certification. For more information on the National Paint Dialogue, and the 11 projects that are being implemented, visit the website at:

http://www.productstewardship.us/prod_paint_nat_dia.html

In collaboration with PSI and the National Paint Dialogue Markets Work Group (Work Group), the applicant and its sub-contractors will develop:

- ♦ A "Seal of approval" of recycled latex paint of the performance and environmental content in collaboration with nationally recognized certification organizations; and,
- ♦ Performance standards, testing protocols and a certification system.

Depending upon the final ranking of scores, it would be possible for one applicant to receive two grant awards (for two different grant projects) for HD14 grant cycle ONLY IF one of the projects was for the Recycled Paint Certification Project.

Note: To receive points for this section, all you need is a half-page summary of your project. More detail should be included in the Need and Work Plan sections. Tasks that must be included are detailed in a Sample Work Plan (Attachment 3-B). As one of the key tasks is collaboration with PSI and Work Group, you should contact PSI consultant Heidi Sandborn at hksanborn@comcast.net.

SECTION 2: NEED -- 20 Points

(4-6 pages)

This section represents 20% of the total available points for the application, so it is a critical section and provides the foundation upon which your project is based.

Some issues you should address are presented below as questions. Keep in mind that responding to just these questions may not reveal all that is necessary for a competitive application.

What are the gaps in existing programs to properly manage HHW in the proposed service area? (6 points)

How much HHW per capita did you collect last year?

- ♦ What is the extent of the HHW service currently provided to your residents?
- ♦ What services do you need to fill those gaps in your programs?
- ♦ Did you document the gaps with local population statistics, surveys, and other research or data?
- ♦ What public outreach and/or education efforts have been previously directed to this group? Did this outreach result in increased HHW collection? What did you learn from these efforts that has influenced the design of your proposed program?
- ♦ Are there health and safety and environmental incidents concerns that support the need for this program?
- ♦ What will be the consequences if the proposal is not funded?

Have you identified the target population or geographic area to be served by this project? (4 points)

- ♦ What is the population of the residents you wish to serve through the proposed application? How many more residents does this represent than the current program you provide?
- ♦ Who are the residents and what is the rationale for serving this particular population compared to others?
- ♦ Include a **map** of the service area that pinpoints the locations of all current facilities (within the last year for temporary events) that your residents can utilize. Include where the proposed facility(ies)/events will be. The map must include all facilities in the service area that your residents can currently use, even if your jurisdiction(s) is not sponsoring those events/facilities.

Have you presented a narrative and data supporting the focus and scope of the proposed project for HHW management in the proposed service area? (5 points)

- ♦ What are you proposing in this grant application to fill the identified gaps in the existing program?
- ♦ Are supplied statistics, surveys or other data relevant to the program(s) you are proposing (does it have any meaning)?
- ♦ What lessons were learned as you developed your current and/or past programs that provide a justification for your approach in this grant application?
- ♦ What insights are provided from surveys conducted and/or evaluations made that will apply to this project?
- ♦ Why should your project be funded (e.g., benefits, end products, problems to be resolved, etc.)?

Have you described the barriers in existing programs that prevent the targeted population from properly managing HHW? (5 points)

- ♦ Are barriers to participation outlined in existing programs?
- ♦ Have you documented barriers to existing programs with a survey(s) and/or other research data?
- ♦ Does proposed program address barriers?

TIPS FOR THE NEED:

Speculation regarding need and/or barriers will not be scored highly. Use data! Your application should demonstrate not only that the proposal is based on need, but that your need is compelling.

Provide local, pertinent data focused on your jurisdiction's concerns.

Types of local demographic studies/statistics that might be useful include: percentage of total population targeted; ethnicity; age distribution; median household income; number of single family homes and multiple family housing units; size and ethnicity of immigrant populations; etc. The websites - www.ciwmb.ca.gov/profiles and www.dof.ca.gov contain the latest population statistics and other demographic information.

SECTION 3: GOALS AND OBJECTIVES -- 8 points (1-2 pages)

This section provides the structural framework or foundation for the development of activities in the Work Plan and should clearly describe what you wish to accomplish with Grant funding. It should link directly with both the Needs Section and the Work Plan.

- ♦ Goals are broad, yet feasible and attainable
- ♦ Objectives quantify your goals and include activities that will allow you to achieve your goals.
- ♦ Baseline information refers to what you have achieved to date.

What are the goals of your project? (4 points)

- ♦ What are the outcome goals relative to baseline information?
- ♦ Are the goals reasonable, realistic, and achievable?
- ♦ What do you want to do and how do you plan to implement the program?
- ♦ How does this relate to the identified need?

EXAMPLE: Outcome Goals

Goal: Increase HHW collected from immigrant residents in service area by 10%.

Goal: Distribute and collect Sharps containers through permanent HHW collection facility to decrease improper disposal of sharps.

What are the measurable process and outcome goals that will be conducted? (4 points)

- ♦ Are the identified problems being addressed?
- ♦ What activities will be conducted to meet the goals?
- ♦ How do the goals relate to the needs of your target audience?
- ♦ How will you track the progress of the project?
- ♦ How much (estimated increased amount or gallons of HHW) will be collected with each activity in a specified time period?
- ♦ Have you determined the current level of activity so that the impact of the proposed program can be measured?
- ♦ To whom will each activity be directed?
- ♦ Given the needs of the target population, are the objectives reasonable and significant?
- ♦ Do the activities and objectives relate to the need?

EXAMPLE: Process Goals

Increase the collection of recyclable HHW by 40% within one year of constructing Recycle-Only facility at transfer station.

Activity 1. Prepare site plan.

Activity 2. Review and update environmental documents.

Activity 3. Prepare construction contract and go out to bid.

Activity 4. Award contract.

Activity 5. Construct pad, order Hazmat Storage Unit.

Activity 6. Etc.

TIPS FOR GOALS:

Be realistic about what can be accomplished within the term of the grant. If a grant proposal is too optimistic, a portion of the project may be unfinished at the end of the

grant term resulting in unspent funds. This may also adversely affect future grant proposals.

SECTION 4: WORK PLAN -- 16 points (3-7 pages text)

Provide a specific list of all grant eligible activities and tasks that will be undertaken to achieve your goals and complete your project.

- ♦ Work Plan – see Sample in Attachment 3-A or 3-B.
- ♦ Recycled Paint Certification Project.
- ♦ Narrative – Supplement the Work Plan providing a discussion of why activities were selected to address the need and how they will do so.

Does the Work Plan demonstrate that the activities can overcome identified barriers, fill gaps in services and/or address identified problems? (4 points)

- ♦ Do the activities overcome the barriers identified that inhibit individuals from proper disposal of HHW?
- ♦ Do all activities fall within the grant time frame? Are times realistic?
- ♦ Can the project be implemented in approximately 30 months?
- ♦ Does each activity relate directly to the goals and need?
- ♦ Are evaluation tasks included?
- ♦ Who will be responsible for each activity in the Work Plan?

EXAMPLE: List activities under the respective goals they apply to.

GOAL1: Increase immigrant residential HHW collection by 10%.

- ♦ Activity A: Determine the size, ethnicity, and concentration of immigrant population to determine HHW collection needs (describe how, when and where you will conduct a survey, how many surveys you plan to collect, and how data will be utilized to shape future outreach and collection activities);
- ♦ Activity B: Construct temporary HHW collection events adjacent to three community meeting halls to provide convenient locations for immigrants to drop off HHW (describe facility type, why location was chosen, construction time frame, projected hours of operation matched to needs of residents and staffing);
- ♦ Activity C: During temporary events, advertise permanent collection facility location and hours of operation to immigrant populations. (Describe who will design advertisements, what form ads will be in (i.e., flyer, etc., and, how and by whom they will be distributed at the temporary events.)

Are the activities and tasks delineated in the Work Plan well thought through as well as achievable within the time frame of the grant and available resources? (4 points)

- ♦ Though traditional publicity and education activities can be effective in raising public awareness or providing information, their ability to foster actual behavior change is limited. Since the success of HHW programs depends upon people adopting sustained HHW recycling behavior, the Board encourages applicants to utilize alternative “behavior-oriented” marketing approaches when promoting HHW collection and recycling events and programs to the public.

- ♦ Community Based Social Marketing (CBSM) (www.cbsm.com) consists of: conducting research to determine public perception of the barriers and benefits to a desired behavior; selecting and pilot-testing a particular intervention strategy to overcome the barriers to that behavior; and evaluating the degree of behavior change following implementation of the intervention strategy. CBSM strategies motivate people to adopt sustainable environmental behaviors more effectively than conventional marketing methods, with the thought that they are carried out at the community level and involve direct contact with people. Research indicates that we are most likely to change behavior in response to direct appeals or social support from others. CBSM strategies include soliciting personal commitment pledges that transform good intentions into action, using prompts to remind people to act sustainably and creating neighborhood behavioral norms to provide peer pressure for behavior change.

If you are not including CBSM elements in this proposal, please explain why not. Points will be deducted for a traditional marketing approach if it is not sufficiently justified.

Do your proposed activities build upon lessons learned through previous pilot projects or programs (local, regional, statewide or other)? (4 points)

- ♦ Have you considered conducting a pilot program before you launch the entire program? If so, what variables will be tested and applied to the design of your HD14 program?
- ♦ Your project activities can build on a program experience that is not your own.
- ♦ However, if you are using someone else's model you must indicate that you have thoroughly reviewed and evaluated at least one other program's experience. And show how it is replicable in your jurisdiction. Was the model you propose to replicate used in a program and target population that mirror's your own?

Do you have the strategy to fund and/or continue the project after the grant term is completed? (4 points)

- ♦ How will the project or program be funded after HD14 funds are expended?
- ♦ Identify a committed funding source, and not a source that may be available.
- ♦ What is the commitment from the identified funding source(s)?

Example: Consider coordinating your project/program with other organizations that have a vested interest in the project, such as ethnic outreach organizations, non-profit groups, boating associations, marinas, farm bureaus, etc. These groups may contribute program labor and materials and/or provide an insight regarding the best way to reach your target audience. Benefiting from their experience may assist you in modifying and improving your proposal. These groups should be committed to contributing program labor and materials once the project is underway.

TIPS FOR THE WORK PLAN:

Activities must address each goal and must flow directly from need and/or barriers identified. It should also specify evaluation steps detailed in the following evaluation criteria.

- ♦ *Specify which staff person (abbreviate title or include name) or contractor that will be responsible for each activity.*

- ♦ *Coordination and communication helps to prevent reinventing the wheel. It also allows you to use the experience of those that have done similar projects and modify and improve upon them. Check out the Clearinghouse and other information on the CIWMB website.*
- ♦ *Grant funds can be used for a pilot project that forms the basis for the overall program. Pilots should be completed early enough in the term of the Grant Agreement to facilitate the rollout of a larger initiative.*

SECTION 5: EVALUATION -- 8 points

(1-2 pages)

Evaluation can be a weak component of many proposals. While evaluation takes time and resources, it is a required activity. Evaluation documents program success and effectiveness. A CIWMB goal is to incorporate lessons learned from each grant into subsequent programs.

What are the methods, including statistical tests or questionnaires, for process and outcome evaluation that measure goal achievement and address HHW waste stream data collection? (4 points)

- ♦ What data will be collected to measure achievement of outcome and process goals and how will it be analyzed?
- ♦ How will evaluation data be collected?
- ♦ Who will be responsible for conducting the evaluation and what are their titles and qualifications?
- ♦ Who will collect and analyze the data?
- ♦ What evaluation challenges are you likely to face and how will they be addressed?
- ♦ Have you identified the strategies, milestones, and tools that you will use to monitor the ongoing project?
- ♦ Describe how you will evaluate and measure the achievement of your goals at the conclusion of your project.

Examples include:

Track pounds of HHW collected and participation rate at events and/or facilities;

- ♦ Compile and analyze data from surveys conducted at collection events;
- ♦ Record HHW tonnage from trucks that haul collected HHW, etc;
- ♦ Record cost reductions and labor hours reduced for different program elements.

What methods will be used to evaluate and modify the project during its implementation? (4 points)

- ♦ What are potential challenges that you may face during the implementation of the grant and what are your plans for dealing with them?
- ♦ How will interim evaluation reports be produced and explain their use?
- ♦ How will you adjust process goals during project implementation when the process needs to be changed?

- ♦ How will the criteria for program success or behavior change be linked to data collected?

TIPS FOR EVALUATION:

Project evaluation should be ongoing throughout the grant term, not just at the end of the grant term. Continuous evaluation identifies problems and concerns during the course of the grant so adjustments can be made as needed.

To assist you in your evaluation efforts, refer to the CIWMB's Publication "Grant Management, Success With The Used Oil Recycling Program" guidebook. If you do not have a hard copy, you can request one from your CIWMB Grant Manager. The guidebook can also be found on the Board's website at <http://www.ciwmb.ca.gov/UsedOil/EvalGuide/>.

SECTION 6: BUDGET -- 11 points (1-2 pages text)

For Budget Itemization - see the sample in Attachment 4. For the Narrative – address the questions below in one to two pages.

Is an itemized cost breakdown associated with each activity, task or subtask included? (5 points)

- ♦ Have you included all costs associated with all tasks outlined in your narrative and Work Plan?
- ♦ Have you used only the budget categories that are specified in the application instructions?
- ♦ Are any costs ineligible for HD14 grant funding?
- ♦ Did you describe the specific type of equipment or supplies to be purchased, such as "safety clothes/gloves?"
- ♦ Are supporting documents numbered and arranged in the same order as listed in the expenditure itemization?
- ♦ If a quote lists multiple items, are items applicable to the proposed project highlighted?

Is your proposal cost effective? (4 points)

- ♦ Are the costs of the activities/tasks reasonable?
- ♦ Did you describe what measures you have utilized to minimize costs?
- ♦ Are the costs per pound of HHW collected or cost square foot reasonable?
- ♦ Services, recycling options, use of existing promotional materials, etc?
- ♦ Have you kept the budget items for managerial, contingency or miscellaneous costs to a minimum?

Does your proposal include cost saving examples: (2 points)

- ◆ Have you described any mechanisms that will be utilized to make the proposed program as cost-effective as possible, including the resources, staff and equipment that will be covered by the applicant or cooperating organizations?
- ◆ Derived from volunteers
- ◆ In-kind services
- ◆ Recycling options
- ◆ Use of existing promotional materials, etc?

TIPS FOR BUDGET:

Attachment 4 is an example of how a budget should be itemized. Remember, this may not apply directly to your program, but is included to give you an idea of the level of detail expected.

Round budget line items to the nearest whole dollar. Items less than fifty cents should be rounded down and those at fifty cents or more should be rounded up.

If initial overhead or indirect rate exceeds ten percent (10%), double check to see if certain costs can be readily itemized to a particular project or activity and whether they are necessary for the operation of the organization and the performance of the program.

Time spent by a manager or supervisor performing an activity directly related to the execution of the grant (not supervision), such as chairing regional meetings, speaking at events, drafting program materials, etc., is a direct cost and should be charged to the appropriate activity. Any such activity must be clearly supported by appropriate documentation.

Justify and explain all non-specific costs such as overhead. Cost savings may not be applicable for every proposed budget, but should be addressed in some manner, even if just to explain why costs can not be trimmed.

Make sure your overhead and indirect costs are supported by a Cost Allocation Plan approved by an appropriate Supervisor/Manager in your agency. It must identify program elements included in the overhead/indirect cost calculation and be documented with sufficient proof to support the development of the Cost Allocation Plan. For example:

Total department indirect cost divided by total department direct cost base equals indirect cost rate.

SECTION 7: REQUIRED DOCUMENTS, LETTERS OF SUPPORT, EXPERIENCE, ETC. -- 7 points (one-half to one page)

Are all required forms, documentation, Attachments and Map included? Are they all signed and boxes checked as appropriate? (3 points)

- ◆ Application Cover Sheet—signed and check box marked for environmental justice considerations – See Attachment 1

- ♦ Resolution and/or Letter of Authorization (if applicable) – See Attachment 2-A, 2-B and 2-C
- ♦ Work Plan – See Attachment 3-A and 3-B
- ♦ Budget Itemization - See Attachment 4
- ♦ Summary of Previous Used Oil and HHW Grants – See Attachment 5
- ♦ Environmentally Preferable Practices Evaluation Sheet – See Attachment 6
- ♦ HHW Facility Description Profile (for facilities only) – See Attachment 7

Are Appropriate Letters of Support Included? (2 points)

- ♦ Do the letters of support (from individuals, organizations, jurisdictions, etc. that would be served or affected by the proposed project) demonstrate support for the project and need for the services?
- ♦ Have letters from organizations that are cooperating organizations mentioned in the Work Plan been included to demonstrate their support and level of involvement?
- ♦ Are specific activities cited in the Work Plan referenced in the letter(s)?

Is there Evidence of Experience and Ability to Coordinate Activities? (2 points)

- ♦ Are staff and/or contractor's technical qualifications sufficient to effectively complete each phase of the project described? (Include a summary of relevant experience. Resumes are NOT needed or required.)
- ♦ Is there evidence that staff has successfully managed government grant programs, including previous Used Oil or HHW grants?

TIPS FOR LETTER OF SUPPORT:

Be sure to attach letters of support directly to your application. If they are sent to CIWMB Board Members, they may not be forwarded to the review team when evaluating your proposal. You may choose to "cc" the Board Members.

We encourage you to include letters that demonstrate need for your program.

SECTION 8: EVIDENCE OF AN ENVIRONMENTALLY PREFERABLE PURCHASING POLICY -- (10 points)

Complete the Environmentally Preferable Practices (EPP) Evaluation Sheet [Attachment(s)]

- ♦ Policy is in place or has been adopted during the application period by the applicant, or its governing body. **(3 points)**
- ♦ Applicant, or its governing body, can provide evidence of sustainable recycled-content product (RCP) purchasing practices within the past year. **(3 points)**
- ♦ Applicant, or its governing body, can provide evidence of sustainable business practices within the past year. **(2 points)**
- ♦ Applicant, or its governing body, proposes to evaluate their RCP purchasing policy annually. Evaluation should address the positive and negative features, including a plan to increase the percentage of RCP. **(2 points)**

TIPS FOR ENVIRONMENTALLY PREFERABLE PURCHASING POLICY:

The policy, as well as your purchasing policies and business practices, provide evidence of your jurisdiction's commitment to "closing the loop" and represents a pledge to use recycled content products, recyclable or reusable products, or other waste reduction measures where appropriate. A sample policy can be found at www.ciwmb.ca.gov/buyrecycled/Policies/CIWMB.htm for your reference, but you are not required to submit your policy for review.

If your jurisdiction has been reluctant to adopt such a policy, now is the time! This section accounts for a significant number of points. A policy that has been adopted during the application period meets this requirement.

IV. GRANT ADMINISTRATION

The requirements for properly administering this grant will be fully set forth in the *Terms and Conditions* (Exhibit A) and the *Procedures and Requirements* (Exhibit B) of your Grant Agreement. As a courtesy, these Exhibits are provided in draft form as part of this application package. It is advisable for **both the program and financial staff** of your jurisdiction to review these documents **BEFORE** submitting the grant application.

Please note: These documents are subject to change without notice prior to the grant award.

- ◆ Exhibit A: Draft Terms and Conditions
- ◆ Exhibit B: Draft Procedures and Requirements

V. ATTACHMENTS

- ◆ Attachment 1 Cover Sheet Format
- ◆ Attachment 2-A, B & C Sample Resolution or Letter of Authorization (if applicable)
- ◆ Attachment 3-A & B Sample Work Plan (General) or Work Plan (Paint Project)
- ◆ Attachment 4 Sample Budget
- ◆ Attachment 5 Sample Summary of Previous Used Oil and HHW Grants
- ◆ Attachment 6 Environmentally Preferable Practices Evaluation Sheet
- ◆ Attachment 7 HHW Facility Description Profile (for facilities only)
- ◆ Attachment 8 Scoring Criteria